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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Applicati n Number 10/077,617

Filing Date 2/15/2002

First Named Inventor Huang

Group Art Unit Not yet assigned

Examiner Name Not yet assigned

Total Number of Pages in This Submission

Attorney Docket Number 24133711.18

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
Postcard Acknowledgement

Remarks

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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

Brian C. McCormack
BAKER & MCKENZIE

Signature

Brian C. McCormack

Date

09/25/2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

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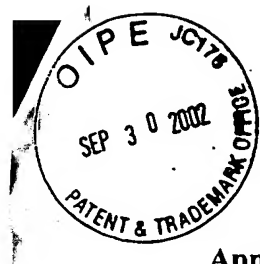
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Huang et al.

Serial No.: 10/077,617

Filed: February 15, 2002

For: OPTICAL EQUALIZATION
WITH BEAM COUNTER-
PROPAGATION

Commissioner for Patents
Washington, D.C. 20231

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Group Art No.: Not yet assigned

Examiner: Not yet assigned

Atty. Docket No.: 24133711.18

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INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant(s) hereby notify the U.S. Patent and Trademark Office of the document(s) which is/are listed on the attached Form PTO-SB/08A. One copy of the listed documents is submitted herewith.

X (1) This IDS does NOT require a fee or 37 C.F.R. § 1.97(e) statement because it is being filed (check all that apply):

____ (a) Within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); **OR**

____ (b) Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; **OR**

X (c) Before the mailing of a first Office action on the merits; **OR**

____ (d) Before the mailing of a first Office action after the filing of a request for continued examination under § 1.114.

7
___ (2) This information disclosure statement is filed before the mailing date of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, and (check only one):

___ (a) Is accompanied by the fee set forth in § 1.17(p); **OR**

___ (b) Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; **OR**

___ (c) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

___ (3) This Information disclosure statement is filed on or before payment of the issue fee and is accompanied by the fee set forth in § 1.17(p); **AND** (check only one):

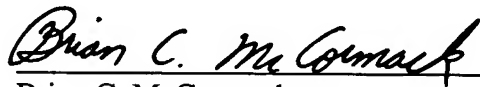
___ (a) Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; **OR**

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individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant(s) does/do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application. Please charge any necessary fee or credit any overpayment in connection with this Information Disclosure Statement to Deposit Account No. 13-0480 (please reference 24133711.18)

Respectfully submitted,



Brian C. McCormack
Registration No. 36,601

September 24, 2002
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(214) 978-3099 (facsimile)

PTO/SB/08A (10-01)

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Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	10/077,617
				Filing Date	2/15/2002
				First Named Inventor	Huang
				Art Unit	Not yet assigned
				Examiner Name	Not yet assigned
				Attorney Docket Number	24133711.18
Sheet	1	of	1		

U.S. PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-5016242	05-14-1991	Tang	
		US-5600467	02-04-1997	Fee	
		US-5963364	10-05-1999	Leong.et.al.	
		US-5119443	06-02-1992	Javidi.et.al.	
		US-5657143	08-12-1997	Haji-et.al.	
		US-5596661	01-21-1997	Henry-et.al.	
		US-5111321	05-05-1992	Patel	
		US-6275328	08-14-2001	Parry-et.al.	
		US-6130731	10-10-2000	Andersson-et.al.	
		US-5978529	11-02-1999	Taga-et.al.	
		US-5592327	01-07-1997	Gabl-et.al.	
		US-6321000	11-20-2001	King	
		US-5978116	11-02-1999	Wu-et.al.	
		US-6034812	03-07-2000	Naito	
		US-5436760	07-25-1995	Nakabayashi	
		US-5889900	03-30-1999	Hallemeier	
		US-5963291	10-05-1999	Wu et al.	
		US-5243455	09-07-1993	Johnson et al.	
		US-5381253	01-10-1995	Sharp et al.	

[illegible]

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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